

RECORDATION FORM COVER SHEET

PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof

1. Name of conveying party(ies):

Peter Richard Horsfall (10/22/01)

Additional name(s) of conveying party(ies) attached?  Yes  No

3. Nature of Conveyance:

Assignment

Merger

Security Agreement

Change of Name

Other \_\_\_\_\_

Execution Date: \_\_\_\_\_ see Box 1, conveying parties

2. Name and address of receiving party(ies)

Name: Electronic Broking Services Limited

Internal Address: \_\_\_\_\_

Street Address:

55-56 Lincolns Inn Fields

City: London

State: England Zip: WC2A, 3LJ

Additional name(s) & address(es) attached?  Yes  No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the new application is: \_\_\_\_\_

A. Patent Application No.(s):

09/942,426

B. Patent No.(s):

Additional numbers attached?  Yes  No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Steven I. Weisburd

DICKSTEIN SHAPIRO MORIN & OSHINSKY LLP

Internal Address: Atty. Dkt.: P/3879-30

Street Address: 1177 Avenue of the Americas

City:

New York

State:

NY

Zip: 10036-2714

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$ 40.00

Enclosed

Authorized to be charged to deposit account

8. Deposit account number:

04-1073

(Attach duplicate copy of this page if paying by deposit account)

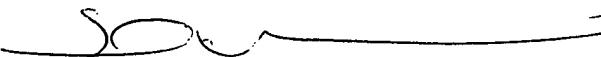
DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Steven I. Weisburd

Name of Person Signing



Signature

January 31, 2002

Date

Total number of pages including cover sheet, attachments, and documents: \_\_\_\_\_

PATENT APPLICATION ASSIGNMENT  
FOR AND JOINT INVENTORS

## BEST AVAILABLE COPY

OFGC FILE NO. P/3789-30

WHEREAS, I, Peter Richard Horrell as assignor, have invented certain improvements in ELECTRONIC TRADING SYSTEM for which an application for United States Letters Patent has been executed by me of even date herewith; and

WHEREAS, Electronic Broking Services Limited, an English Limited Company, having its principal place of business at 55-56 Lincolns Inn Fields, London WC2A, 311J, England, as assignee, is desirous of acquiring all right, title and interest in and to said invention and any Patent that may be granted therefor.

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, I, as assignor, hereby sell, assign and set over to said assignee the entire right, title and interest for the United States and all other countries in and to said invention and the aforesaid application for Patent, all original, divisional, continuation, substitution or reissue applications and patents applied for or granted therefor in the United States and all other countries, including all rights of priority from the filing of said application, and all rights for past infringement, and the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all patents on said inventions or resulting therefrom to said assignee again, as assignee of the entire interest therein; and the undersigned for myself and my legal representatives, heirs and assigns do hereby agree and covenant without further remuneration, to execute and deliver all divisional, continuation, reissue and other applications for Patent on said inventions and all assignments thereto to said assignee or its assigns, to communicate to said assignee or its representatives all facts known to the undersigned respecting said inventions, whenever requested, to testify in any interferences or other legal proceedings in which any of said applications or patents may become involved, to sign all lawful papers, make all rightful oaths, and to do generally everything necessary to assist assignee, its successors, assigns and nominees to obtain patent protection for said invention in the United States and all other countries, the expenses incident to said applications to be borne and paid by said assignee.

22 OCT 2001

  
Peter Richard HorrellSTATE OF NEW JERSEY )  
CITY OF MORRISTOWN ) ss.:  
 )

This \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me personally came the above-named \_\_\_\_\_, to me personally known as the individual who executed the foregoing instrument, who acknowledged to me that the same was executed by him of his own free will for the purposes therein set forth.

Notary Public - Seal

00527492.1

UNITED STATES OF AMERICA  
COMBINED DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

OFGS FILE NO. P-3879-30

As a below-named inventor, I hereby declare that: my residence, post office address and citizenship are as stated below next to my name; that I verify that I am the original, first and sole inventor (if only one name is listed below) or a joint inventor (if plural inventors are named) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**ELECTRONIC TRADING SYSTEM**

specification of which is attached hereto, unless the following box is checked:

was filed on **August 29, 2001** as United States patent Application Number or PCT International Patent application number **09/942,426** and was amended on **(if any)**

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information known to be material to patentability in accordance with Title 35, Code of Federal Regulations, §1.56.

I hereby claim priority benefits under Title 35, United States Code §119 of any foreign application(s) or patent or invention certificate or United States provisional application(s) listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

## Prior Foreign or Provisional Application(s)

COUNTRY	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 U.S.C. 119
			YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>
			YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>
			YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>

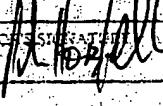
I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 35, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the earliest of the PCT international filing date of this application.

UNITED STATES APPLICATION NUMBER	DATE OF FILING (day, month, year)	STATUS (PENDING, PENDING, ABANDONED)

I hereby appoint customer no. 2352 OSTROLENK, FABER, GERB & SOFFEN, LLP, and the members of the firm, Samuel H. Weinstock - Reg. No. 28,310; Jerome M. Berliner - Reg. No. 18,653; Robert C. Faber - Reg. No. 24,322; Edward A. Heim - Reg. No. 24,425; Steven I. Weisbind - Reg. No. 27,409; Max Moskowitz - Reg. No. 30,576; Stephen A. Soffen - Reg. No. 31,063; James A. Fink - Reg. No. 30,173; William C. Gray II - Reg. No. 30,944; Louis C. Duimrich - Reg. No. 30,525; Douglas A. Miro - Reg. No. 31,645; and Michael J. Sommer - Reg. No. 24,425, as attorneys with full power of substitution and revocation to prosecute this application, to transact all business in the Patent and Trademark Office connected therewith and to receive all correspondence.

SEND CORRESPONDENCE TO: **OSTROLENK, FABER, GERB & SOFFEN, LLP**, 1180 AVENUE OF THE AMERICAS, NEW YORK, NEW YORK 10036-5402  
CUSTOMER NO. 2352

I hereby declare that all statements made herein of my own knowledge are true and that I am making a sworn declaration of information and belief as believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 101 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF SOLE OR FIRST INVENTOR **Peter Richard Horsfall** INVENTOR'S SIGNATURE  DATE **10/22/01**

RESIDENCE (City and either State or Foreign Country) **Morristown, New Jersey 07960** COUNTRY OF CITIZENSHIP **United Kingdom**

POST OFFICE ADDRESS **30 Wetmore Avenue, Morristown, New Jersey 07960**

FULL NAME OF SECOND JOINT INVENTOR (if any) INVENTOR'S SIGNATURE DATE

RESIDENCE (City and either State or Foreign Country) COUNTRY OF CITIZENSHIP

POST OFFICE ADDRESS

CONTINUED ON PAGE 2

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